

# Polynomials in Algorithm Design

In this lecture, we will see some of the power of polynomials in algorithm design. In particular, we'll see the fundamental beautiful ideas behind the error-correction used in QR codes (like this one):



## Objectives of this lecture

In this lecture, we will

- review some properties of polynomials and the operations that can be performed on them
- see the *unique reconstruction theorem* and learn how to *interpolate* a set of points to obtain that unique polynomial
- see how polynomials can be used to implement *error-correcting codes*
- see some *algebraic algorithms* for matchings in graphs that utilize polynomials

## 1 Introduction

You've probably all seen polynomials before: e.g.,  $3x^2 - 5x + 17$ , or  $2x - 3$ , or  $-x^5 + 38x^3 - 1$ , or  $x$ , or even a constant 3. These are all polynomials over a single variable (here,  $x$ ). The degree of a polynomial is the highest exponent of  $x$  that appears: hence the degrees of the above polynomials are 2, 1, 5, 1, 0 respectively.

In general, a polynomial over the variable  $x$  of degree at most  $d$  looks like:

$$P(x) = c_d x^d + c_{d-1} x^{d-1} + \dots + c_1 x + c_0$$

**Remark: The coefficients completely describe  $P$**

Note that the sequence of  $d + 1$  coefficients  $\langle c_d, c_{d-1}, \dots, c_0 \rangle$  completely describes  $P(x)$ .

In general the coefficients (and variables) of a polynomial can be drawn from any field you choose. In this lecture we will be making frequent use of the finite fields, specifically the field of integers modulo a prime  $p$ , which is denoted  $\mathbb{Z}_p$ .

If the coefficients were all drawn from the set  $\mathbb{Z}_p$ , then we have exactly  $p^{d+1}$  possible different polynomials of degree at most  $d$  (note that it is *at most*  $d$  and not exactly  $d$  because  $c_d$  could be zero). This includes the zero polynomial  $0 = 0x^d + 0x^{d-1} + \dots + 0x + 0$ .

In this lecture, we will use properties of polynomials to construct error correcting codes, and do other cool things with them.

## 2 Operations on Polynomials

Before we study properties of polynomials, recall the following simple operations on polynomials:

- **Addition:** Given two polynomials  $P(x)$  and  $Q(x)$ , we can add them to get another polynomial  $R(x) = P(x) + Q(x)$ . Note that the degree of  $R(x)$  is at most the maximum of the degrees of  $P$  and  $Q$ . (Q: Why is it not equal to the maximum?)

$$(x^2 + 2x - 1) + (3x^3 + 7x) = 3x^3 + x^2 + 9x - 1$$

The same holds for the difference of two polynomials  $P(x) - Q(x)$ , which is the same as  $P(x) + (-Q(x))$ .

- **Multiplication:** Given two polynomials  $P(x)$  and  $Q(x)$ , we can multiply them to get another polynomial  $S(x) = P(x) \times Q(x)$ .

$$(x^2 + 2x - 1) \times (3x^3 + 7x) = 3x^5 + 4x^3 + 6x^4 + 14x^2 - 7x$$

The degree of  $S(x)$  is equal to the sum of the degrees of  $P$  and  $Q$ .

- **Division:** Polynomials can be divided to yield an algebraic expression, but do note that the result  $P(x)/Q(x)$  may not itself be a polynomial. In some situations it will be, and this can turn out to be useful (we'll see an example soon).

- **Evaluation:** We can also *evaluate* polynomials. Given a polynomial  $P(x)$  and a value  $a$ ,  $P(a) := c_d \cdot a^d + c_{d-1} \cdot a^{d-1} + \dots + c_1 \cdot a + c_0$ . For example, if  $P(x) = 3x^5 + 4x^3 + 6x^4 + 14x^2 - 7x$ , then

$$P(2) = 3 \cdot 2^5 + 4 \cdot 2^3 + 6 \cdot 2^4 + 14 \cdot 2^2 - 7 \cdot 2 = 266$$

Naive evaluation of a polynomial would take  $O(d^2)$  time, but this can be improved to  $O(d)$ :

### Algorithm: Horner's Rule

Evaluate the following recurrence for  $p_0$ .

$$p_i = \begin{cases} c_d & \text{if } i = d, \\ p_{i+1} \cdot a + c_i & \text{otherwise} \end{cases}$$

The result is  $p_0 = P(a)$ . Each step is one addition and one multiplication, hence this takes  $O(d)$  time.

- **Roots:** A *root* of a polynomial  $P(x)$  is a value  $r$  such that  $P(r) = 0$ . For example,  $P(x)$  above has three real roots  $0, -1 + \sqrt{2}, -1 - \sqrt{2}$ , and two complex roots.

Here, we were implicitly working over  $\mathbb{R}$ , the field of real numbers.

## 3 How Many Roots?

Let's start with the following super-important theorem.

### Theorem 1: Few-Roots Theorem

Any non-zero polynomial of degree at most  $d$  has at most  $d$  roots.

This holds true, regardless of what field we are working over. When we are working over the reals (i.e., the coefficients are reals, and we are allowed to plug in arbitrary reals for  $x$ ), this theorem is a corollary of the fundamental theorem of Algebra. But it holds even if we are working over some other field (say  $\mathbb{Z}_p$  for prime  $p$ ).

Let's relate this to what we know. Consider polynomials of degree 1, also known as linear polynomials. Say they have real coefficients, this gives a straight line when we plot it. Such a polynomial has at most one root: it crosses the  $x$ -axis at most once. And in fact, any degree-1 polynomial looks like  $c_1x + c_0$ , and hence setting  $x = -c_0/c_1$  gives us a root. So, in fact, a polynomial of degree exactly 1 has exactly one root.

What about degree 2, the quadratics? Things get a little more tricky now, as you probably remember from high school. E.g., the polynomial  $x^2 + 1$  has no real roots, but it has two complex roots. However, you might remember that if it has one real root, then both roots are real. But anyways, a quadratic crosses the  $x$ -axis at most twice. At most two roots.

And in general, Theorem 1 says, any polynomial of degree at most  $d$  has at most  $d$  roots.

## 4 Another Representation for degree- $d$ Polynomials

Let's prove a simple corollary of Theorem 1, which says that if we plot two polynomials of degree at most  $d$ , then they can intersect in at most  $d$  points—*unless they are the same polynomial* (and

hence intersect everywhere)! Remember, two distinct lines intersect at most once, two distinct quadratics intersect at most twice, etc. Same principle.

### Corollary 1

Given  $d + 1$  pairs  $(a_0, b_0), (a_1, b_1), \dots, (a_d, b_d)$ , there is *at most* one polynomial  $P(x)$  of degree at most  $d$ , such that  $P(a_i) = b_i$  for all  $i = 0, 1, \dots, d$ .

*Proof.* For a contradiction, suppose there are two distinct polynomials  $P(x)$  and  $Q(x)$  of degree at most  $d$  such that for all  $i$ ,

$$P(a_i) = Q(a_i) = b_i.$$

Then consider the polynomial  $R(x) = P(x) - Q(x)$ . It has degree at most  $d$ , since it is the difference of two polynomials of degree at most  $d$ . Moreover,

$$R(a_i) = P(a_i) - Q(a_i) = 0$$

for all the  $d + 1$  settings of  $i = 0, 1, \dots, d$ . Once again,  $R$  is a polynomial of degree at most  $d$ , with  $d + 1$  roots. By the contrapositive of Theorem 1,  $R(x)$  must be the zero polynomial. And hence  $P(x) = Q(x)$ , which gives us the contradiction.  $\square$

To paraphrase the theorem differently, given two (i.e.,  $1 + 1$ ) points there is at most one linear (i.e., degree-1) polynomial that passes through them, given three (i.e.,  $2 + 1$ ) points there is at most one quadratic (i.e., degree-2) polynomial that passes through them, etc.

Can it be the case that for some  $d + 1$  pairs  $(a_0, b_0), (a_1, b_1), \dots, (a_d, b_d)$ , there is *no* polynomial of degree at most  $d$  that passes through them? Well, clearly if  $a_i = a_j$  but  $b_i \neq b_j$ . But what if all the  $a_i$ 's are distinct?

### Theorem 2: Unique Reconstruction Theorem

Given  $d + 1$  pairs  $(a_0, b_0), (a_1, b_1), \dots, (a_d, b_d)$  where the  $a_i$ 's are distinct, there always exists a polynomial  $P(x)$  of degree at most  $d$ , such that  $P(a_i) = b_i$  for all  $i = 0, 1, \dots, d$ .

We will prove this theorem soon, but before that note some implications. Combining Corollary 1 with Theorem 2, we get that given  $d + 1$  pairs  $(a_0, b_0), (a_1, b_1), \dots, (a_d, b_d)$  with distinct  $a$ 's, this means there is a *unique* polynomial of degree at most  $d$  that passes through them. Exactly one.

In fact, given  $d + 1$  numbers  $b_0, b_1, \dots, b_d$ , there is a unique polynomial  $P(x)$  of degree at most  $d$  such that  $P(i) = b_i$ . (We're just using the theorem with  $a_i = i$ .) Earlier we saw how to represent any polynomial of degree at most  $d$  by  $d + 1$  numbers, the coefficients. Now we are saying that we can represent the polynomial of degree at most  $d$  by a different sequence of  $d + 1$  numbers: its values at  $0, 1, \dots, d$ .

Two different representations for the same thing, cool! Surely there must be a use for this new representation. We will give at least two uses for this, but first let's see the proof of Theorem 2.

(If you are impatient, you can skip over the proof, but do come back and read it—it is very elegant.)

*Proof.* OK, now the proof of Theorem 2. We are given  $d + 1$  pairs  $(a_i, b_i)$ , and the  $a$ 's are all distinct. The proof is by construction – it will give an algorithm to find this polynomial  $P(x)$  with degree at most  $d$ , and where  $P(a_i) = b_i$ .

Let's start easy: suppose all the  $d + 1$  values  $b_i$ 's were zero. Then  $P(x)$  has  $d + 1$  roots, and now Theorem 1 tells us that  $P(x) = 0$ , the zero polynomial!

OK, next step. Suppose  $b_0 = 1$ , but all the  $d$  other  $b_i$ 's are zero. Do we know a degree- $d$  polynomial which has roots at  $d$  places  $a_1, a_2, \dots, a_d$ . Sure, we do—it is just

$$Q_0(x) = (x - a_1)(x - a_2) \cdots (x - a_d).$$

So are we done? Not necessarily:  $Q_0(a_0)$  might not equal  $b_0 = 1$ . But that is easy to fix! Just scale the polynomial by  $1/Q_0(a_0)$ . I.e., what we wanted was

$$\begin{aligned} R_0(x) &= (x - a_1)(x - a_2) \cdots (x - a_d) \cdot \frac{1}{Q_0(a_0)} \\ &= \frac{(x - a_1)(x - a_2) \cdots (x - a_d)}{(a_0 - a_1)(a_0 - a_2) \cdots (a_0 - a_d)}. \end{aligned}$$

Again,  $R_0(x)$  has degree  $d$  by construction, and satisfies what we wanted! (We'll call  $R_0(x)$  the  $0^{\text{th}}$  "switch" polynomial.)

Next, what if  $b_0$  was not 1 but some other value. Easy again: just take  $b_0 \times R_0(x)$ . This has value  $b_0 \times 1$  at  $a_0$ , and  $b_0 \times 0 = 0$  at all other  $a_i$ 's.

Similarly, one can define switch polynomials  $R_i(x)$  of degree  $d$  that have  $R_i(a_i) = 1$  and  $R_i(a_j) = 0$  for all  $i \neq j$ . Indeed, this is

$$R_i(x) = \frac{(x - a_0) \cdots (x - a_{i-1}) \cdot (x - a_{i+1}) \cdots (x - a_d)}{(a_i - a_0) \cdots (a_i - a_{i-1}) \cdot (a_i - a_{i+1}) \cdots (a_i - a_d)}.$$

So the polynomial we wanted after all is just a linear combination of these switch polynomials:

$$P(x) = b_0 R_0(x) + b_1 R_1(x) + \dots + b_d R_d(x)$$

Since it is a sum of degree- $d$  polynomials,  $P(x)$  has degree at most  $d$ . And what is  $P(a_i)$ ? Since  $R_j(a_i) = 0$  for all  $j \neq i$ , we get  $P(a_i) = b_i R_i(a_i)$ . Now  $R_i(a_i) = 1$ , so this is  $b_i$ .  $\square$

The polynomial that goes through a given set of points is called the *interpolating* polynomial for those points. The technique described in the proof is called *Lagrange interpolation*.

### Example

Consider the tuples  $(5, 1), (6, 2), (7, 9)$ : we want the unique degree-2 polynomial that passes through these points. So first we find  $R_0(x)$ , which evaluates to 1 at  $x = 5$ , and has roots at 6 and 7. This is

$$R_0(x) = \frac{(x-6)(x-7)}{(5-6)(5-7)} = \frac{1}{2}(x-6)(x-7)$$

Similarly

$$R_1(x) = \frac{(x-5)(x-7)}{(6-5)(6-7)} = -(x-5)(x-7)$$

and

$$R_2(x) = \frac{(x-5)(x-6)}{(7-5)(7-6)} = \frac{1}{2}(x-5)(x-6)$$

Hence, the polynomial we want is

$$P(x) = 1 \cdot R_0(x) + 2 \cdot R_1(x) + 9 \cdot R_2(x) = 3x^2 - 32x + 86$$

Let's check our answer:

$$P(5) = 1, P(6) = 2, P(7) = 9.$$

**Running Time:** Note that constructing the polynomial  $P(x)$  takes  $O(d^2)$  time. (Can you find the simplified version in this time as well?)

## 5 Application: Error Correcting Codes

Consider the situation: I want to send you a sequence of  $d + 1$  numbers  $\langle c_d, c_{d-1}, \dots, c_1, c_0 \rangle$  over a noisy channel. I can't just send you these numbers in a message, because I know that whatever message I send you, the channel will corrupt up to  $k$  of the numbers in that message. For the current example, assume that the corruption is very simple: whenever a number is corrupted, it is replaced by a  $\star$ . Hence, if I send the sequence

$$\langle 5, 19, 2, 3, 2 \rangle$$

and the channel decides to corrupt the third and fourth numbers, you would get

$$\langle 5, 19, \star, \star, 2 \rangle.$$

On the other hand, if I decided to delete the fourth and fifth elements, you would get

$$\langle 5, 19, 2, \star, \star \rangle.$$

Since the channel is “erasing” some of the entries and replacing them with  $\star$ 's, the codes we will develop will be called *erasure* codes. The question then is: how can we send  $d + 1$  numbers so that the receiver can get back these  $d + 1$  numbers even if up to  $k$  numbers in the message are erased (replaced by  $\star$ )? (Assume that both you and the receiver know  $d$  and  $k$ .)

A simple case: if  $d = 0$ , then one number is sent. Since the channel can erase  $k$  numbers, the best we can do is to repeat this single number  $k + 1$  times, and send these  $k + 1$  copies across. At least one of these copies will survive, and the receiver will know the number.

This suggests a strategy: no matter how many numbers you want to send, repeat each number  $k + 1$  times. So to send the message  $\langle 5, 19, 2, 3, 2 \rangle$  with  $k = 2$ , you would send

$$\langle 5, 5, 5, 19, 19, 19, 2, 2, 2, 3, 3, 3, 2, 2, 2 \rangle$$

This takes  $(d + 1)(k + 1)$  numbers, approximately  $dk$ . Can we do better?

Indeed we can! We view our sequence  $\langle c_d, c_{d-1}, \dots, c_1, c_0 \rangle$  as the  $d + 1$  coefficients of a polynomial of degree at most  $d$ , namely  $P(x) = c_d x^d + c_{d-1} x^{d-1} + \dots + c_1 x + c_0$ . Now we evaluate  $P$  at some  $d + k + 1$  points, say  $0, 1, 2, \dots, d + k$ , and send these  $d + k + 1$  numbers

$$P(0), P(1), \dots, P(d + k)$$

across. The receiver will get back at least  $d + 1$  of these numbers, which by Theorem 2 uniquely specifies  $P(x)$ . Moreover, the receiver can also reconstruct  $P(x)$  using Lagrange interpolation.

**Theorem: Erasure codes using polynomials**

We can send a sequence of  $d + 1$  numbers across an erasure channel that erases up to  $k$  of them by sending  $d + k + 1$  points of the polynomial  $P$  encoded by the sequence.

**Example**

Here is an example: Suppose we want to send  $\langle 5, 19, 2, 3, 2 \rangle$  with  $k = 2$ . Hence  $P(x) = 5x^4 + 19x^3 + 2x^2 + 3x + 2$ . Now we'll evaluate  $P(x)$  at  $0, 1, 2, \dots, d + k = 6$ . This gives

$$P(0) = 2, P(1) = 31, P(2) = 248, P(3) = 947, P(4) = 2542, P(5) = 5567, P(6) = 10676$$

So we send across the "encoded message":

$$\langle 2, 31, 248, 947, 2542, 5567, 10676 \rangle$$

Now suppose the third and fifth entries get erased. the receiver gets:

$$\langle 2, 31, *, 947, *, 5567, 10676 \rangle$$

So she wants to reconstruct a polynomial  $R(x)$  of degree at most 4 such that  $R(0) = 2, R(1) = 31, R(3) = 947, R(5) = 5567, R(6) = 10676$ . (That is, she wants to "decode" the message.) By Lagrange interpolation, we get that

$$R(x) = \frac{1}{45}(x-1)(x-3)(x-5)(x-6) - \frac{31}{40}x(x-3)(x-5)(x-6) + \frac{947}{36}x(x-1)(x-5)(x-6) - \frac{5567}{40}x(x-1)(x-3)(x-6) + \frac{5338}{45}x(x-1)(x-3)(x-5)$$

which simplifies to  $P(x) = 5x^4 + 19x^3 + 2x^2 + 3x + 2!$

**Note on Efficiency** The numbers can get large, so you may want work in the field  $\mathbb{Z}_p$ , as long as the size of the field is large enough to encode the numbers you want to send across. (Of course, if you are working modulo a prime  $p$ , both the sender and the receiver must know  $p$ .) This will save both time and reduce the number of bits in the encoded sequences.

### Example

Let's do the previous example using a finite field. Since we want to send numbers as large as 19, let's work in  $\mathbb{Z}_{23}$ . Then you'd send the numbers modulo 23, which would be

$$\langle 2, 8, 18, 4, 12, 1, 4 \rangle$$

Now suppose you get

$$\langle 2, 8, *, 4, *, 1, 4 \rangle$$

Interpolate to get

$$R(x) = 45^{-1}(x-1)(x-3)(x-5)(x-6) - 5^{-1}x(x-3)(x-5)(x-6) + 9^{-1}x(x-1)(x-5)(x-6) \\ - 40^{-1}x(x-1)(x-3)(x-6) + 2 \cdot 45^{-1}x(x-1)(x-3)(x-5)$$

where the multiplicative inverses are modulo 23, of course. Simplifying, we get  $P(x) = 5x^4 + 19x^3 + 2x^2 + 3x + 2$  again.

One final note. A beautiful application of these kinds of erasure codes is in the design of RAID systems. RAID stands for Redundant Array of Independent Disks. Suppose you wanted to design a storage system comprised of five identical 1TB hard drives. And you wanted it such that if any two of the drives died, all the data would still exist on the other three drives. And you wanted to be able to use these five drives to store 3TB of such space. Then what you can do is use the codes described here, where three words of data are encoded as five words, in such a way that any subset of three of them can be used to reconstruct the original three words. This is achieved by an erasure code.

## 5.1 Error Correction

One can imagine that the channel is more malicious: it decides to *replace* some  $k$  of the numbers not by stars but by other numbers, so the same encoding/decoding strategy cannot be used! Indeed, the receiver now has no clue which numbers were altered, and which ones were part of the original message! In fact, even for the  $d = 0$  case of a single number, we need to send  $2k + 1$  numbers across, so that the receiver knows that the majority number must be the correct one. And indeed, if you evaluate  $P(x)$  at  $n = d + 2k + 1$  locations and send those values across, even if the channel alters  $k$  of those numbers, there is a unique degree- $d$  polynomial that agrees with  $d + k + 1$  of these numbers (and this must be  $P(x)$ )

### Theorem: Error correction code using polynomials

If we want to send  $d + 1$  numbers across a channel in which  $k$  of them could be replaced, we send  $d + 2k + 1$  points of the polynomial  $P$  encoded by the sequence, then for any

subset of  $d + k + 1$  points on the receiving end (which may contain corruptions), if there exists a polynomial that interpolates these points, it must be  $P$ .

*Proof.* First, there exists some subset of points that interpolates to  $P$ , the uncorrupted  $d + k + 1$  of them. Now consider some other subset of points and suppose there exists a degree- $d$  polynomial  $Q$  that interpolates them. Since there are  $k$  corrupted points,  $P$  and  $Q$  must agree on at least  $d + 1$  of the points and hence by the unique reconstruction theorem,  $P$  and  $Q$  are the same polynomial since there is a unique degree- $d$  polynomial that interpolates  $d + 1$  points.  $\square$

So we can show that  $d + 2k + 1$  points is good enough that it uniquely determines  $P$  even in the presence of adversarial replacements, but its not clear how to actually reconstruct  $P$ . The above theorem only tells us that it is possible, but by brute force we would have to try exponentially many subsets to find one that works. What is amazing is that there is an efficient algorithm that the receiver can use to reconstruct  $P(x)$ : this is known as the *Berlekamp-Welch* algorithm.

### 5.1.1 The Berlekamp-Welch Error-Correction Algorithm

Let  $[n] := \{0, 1, \dots, n - 1\}$ , where  $n = d + 2k + 1$ . Suppose we send over the  $n$  numbers

$$s_0, s_1, \dots, s_{n-1},$$

where  $s_i = P(i)$ . We receive numbers

$$r_0, r_1, \dots, r_{n-1},$$

where at most  $k$  of these  $r_i$ s are not the same as the  $s_i$ s. Define a set  $Z$  of size at most  $k$  such that  $\{i \mid s_i \neq r_i\} \subseteq Z$ : i.e.,  $Z$  contains all the error locations.

Now define a degree- $k$  “error” polynomial  $E(x)$  such that

$$E(x) = \prod_{a \in Z} (x - a).$$

Observe that

$$P(x) \cdot E(x) = r_x \cdot E(x) \quad \forall x \in [n]. \quad (1)$$

Indeed,  $E(x) = 0$  for all  $x \in Z$  (by construction of  $E()$ ) and  $P(x) = r_x$  for all  $x \in [n] \setminus Z$  (by the definition of  $Z$ ). Of course, we just received the  $r_i$ s, so we don’t know  $P(x)$ . Nor do we know  $E(x)$ , since we don’t know  $Z$ . But we know that  $E(x)$  looks like:

$$E(x) = x^k + e_{k-1}x^{k-1} + \dots + e_1x + e_0.$$

for some values  $e_{k-1}, e_{k-2}, \dots, e_0$ . (So there are  $k$  unknown coefficients, since the coefficient of  $x^k$  in  $E(x)$  is 1.) Moreover, we know that  $P(x) \cdot E(x)$  has degree  $d + k$ , so looks like

$$P(x) \cdot E(x) = f_{d+k}x^{d+k} + f_{d+k-1}x^{d+k-1} + \dots + f_1x + f_0.$$

So the  $n = d + 2k + 1$  equalities from (1) look like

$$f_{d+k}x^{d+k} + f_{d+k-1}x^{d+k-1} + \dots + f_1x + f_0 = r_x(x^k + e_{k-1}x^{k-1} + \dots + e_1x + e_0),$$

one for each  $x \in [n]$ . The unknowns are  $e_i$  and  $f_i$  values—there are  $k + (d + k + 1) = d + 2k + 1$  unknowns. So we can solve for these unknowns (say using Gaussian elimination), and get  $E(x)$  and  $P(x) \cdot E(x)$ . Dividing the latter by the former gives back  $P(x)$ . It's like magic.

## 6 Multivariate Polynomials and Matchings

### *Optional content — Not required knowledge for the exams*

Here's a very different application of polynomials in algorithm design. Now we'll consider multivariate polynomials, and use the fact that they also have “few” roots to get an unusual algorithm for finding matchings in graphs. We need to think carefully about what we mean by “few”, since for multivariate polynomials, even linear polynomials can have many roots, more than any function of the degree. For example  $P(x, y) = x - y$  has infinitely many roots, one for every point  $(x, y)$  such that  $x = y$ . This is unlike single variable polynomials where we could just bound the number of roots by  $d$ . So instead of trying to bound the number of roots, we'll instead try to show that the fraction of points that can be roots is small.

#### **Definition: Multivariate polynomial**

A multivariate polynomial is a sum of monomials, where a monomial is a product of powers of the variables (and possibly a constant), e.g.,

$$P(x_1, x_2, x_3, x_4) = x_1x_2^2x_4 + x_3x_4^2 + x_1x_2^2x_3^2x_4$$

The degree of the monomial  $x_1^{i_1}x_2^{i_2}x_3^{i_3}x_4^{i_4}$  is  $i_1 + i_2 + i_3 + i_4$ . The degree of  $P$  is the maximum degree of any of its monomials.

Here's an alternate view of Theorem 1 that is possible to generalize to multivariate polynomials: suppose we fix a set  $S$  of values in the field we are working over (e.g.,  $\mathbb{R}$ , or  $\mathbb{F}_p$ ), and pick a random  $x \in S$ . Given a degree- $d$  polynomial, what is the probability that we picked a root? There are at most  $d$  distinct roots, so the probability that  $P(x) = 0$  is at most  $d/|S|$ . One can extend this to the following theorem for multivariate polynomials  $P(\mathbf{x}) = P(x_1, x_2, \dots, x_m)$ .

**Theorem 3: Schwartz (1980), Zippel (1979)**

For any non-zero degree- $d$  polynomial  $P(\mathbf{x})$  and any subset  $S$  of values from the underlying field, if each  $X_i$  is chosen independently and uniformly at random from  $S$ , then

$$\Pr[P(X_1, \dots, X_m) = 0] \leq \frac{d}{|S|}.$$

This theorem is useful in many contexts. E.g., we get an algorithm for perfect matchings.

## 6.1 Application: Perfect matchings

**Definition: The Tutte matrix**

For any graph  $G = (V, E)$  with vertices  $v_1, v_2, \dots, v_n$ , the *Tutte matrix*<sup>a</sup> is a  $|V| \times |V|$  matrix  $M(G)$ :

$$M(G)_{i,j} = \begin{cases} x_{i,j} & \text{if } \{v_i, v_j\} \in E \text{ and } i < j \\ -x_{j,i} & \text{if } \{v_i, v_j\} \in E \text{ and } i > j \\ 0 & \text{if } (v_i, v_j) \notin E \end{cases}$$

<sup>a</sup>Named after William T. (Bill) Tutte, pioneering graph theorist and algorithm designer. Recently it was discovered that he was one of the influential code-breakers in WWII, making crucial insights in breaking the Lorenz cipher.

This is a square matrix of variables  $x_{i,j}$ . And like any matrix, we can take its determinant, which is a (multivariate) polynomial  $P_G(\mathbf{x})$  in the variables  $\{x_{i,j}\}_{\{i,j\} \in E}$ . The degree of this polynomial is at most  $n = |V|$ , the dimension of the matrix. Here is a surprising and super useful fact:

**Theorem 4: Tutte (1947)**

A graph  $G$  has a perfect matching if and only if  $P_G(\mathbf{x})$ , the determinant of the Tutte matrix, is not the zero polynomial.

How do we check if  $P_G(\mathbf{x})$  is zero or not? That's the problem: since we're taking a determinant of a matrix of variables, the usual way of computing determinants may lead to  $n!$  terms, which eventually may all cancel out!

However, we can combine Theorems 3 and 4 together: take  $G$ , construct  $M(\mathbf{x})$ , and replace each variable by an independently uniform random value in some set  $S$ , and then compute the determinant of the resulting matrix of random numbers. This is exactly like plugging in the random numbers into  $P_G(\mathbf{x})$ . So if  $P_G(\mathbf{x})$  was zero, the answer is zero for sure. And else, the answer is zero with probability at most  $n/|S|$ , which we can make as small as we want by choosing  $S$  large enough, or by repeating the process sufficiently many times.

## Exercises: Polynomials in algorithm design

**Problem 1.** Take your favorite degree-3 polynomial  $P(x)$  over the reals, and evaluate it at any 4 points. Use Lagrange interpolation to fit a degree-3 polynomial through those points, and verify that it equals  $P(x)$ .

**Problem 2.** Think about how you would use the algorithm from Section 6.1 (which tests for the existence of a perfect matching), to actually find a perfect matching (with high probability) in a graph, if one exists. Your PM-finder should perform at most  $O(m)$  calls to the PM-existence-checker.

**Problem 3.** Given an algorithm to find perfect matchings in a graph (if one exists), use it to find maximum cardinality matchings in graphs.